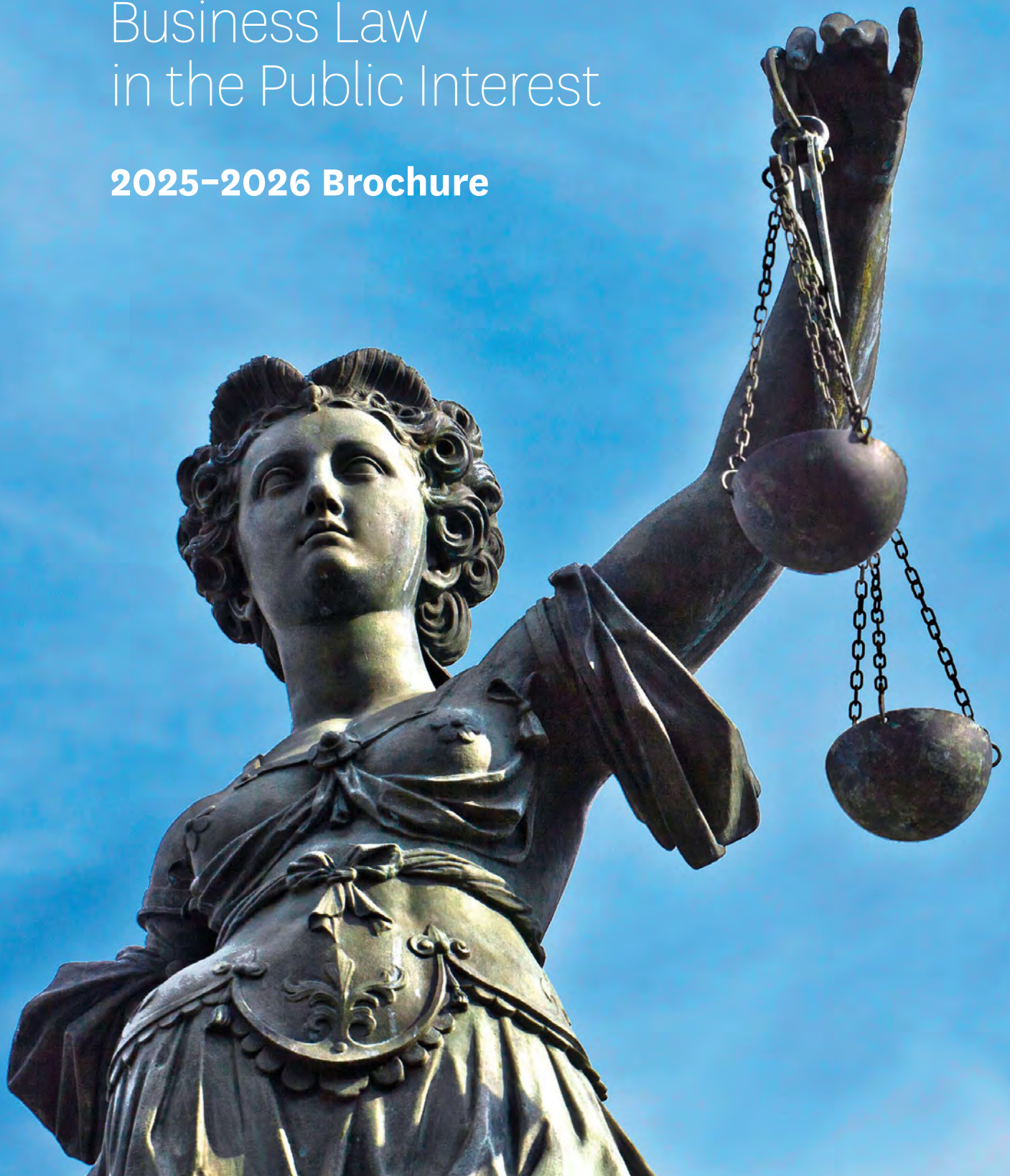


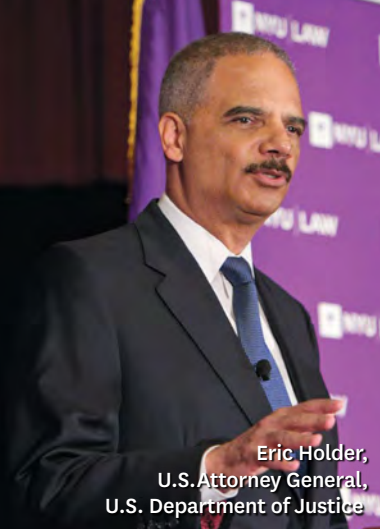


# Program on Corporate Compliance and Enforcement

Business Law  
in the Public Interest

**2025-2026 Brochure**

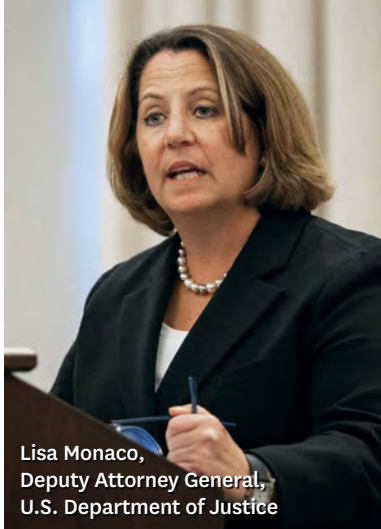




Eric Holder,  
U.S. Attorney General,  
U.S. Department of Justice



Sally Quillian Yates,  
Deputy Attorney General,  
U.S. Department of Justice



Lisa Monaco,  
Deputy Attorney General,  
U.S. Department of Justice



Rod J. Rosenstein,  
Deputy Attorney General,  
U.S. Department  
of Justice



Leslie Caldwell,  
Assistant Attorney General,  
Criminal Division,  
U.S. Department of Justice



Brian A. Benczkowski,  
Assistant Attorney General,  
Criminal Division, U.S.  
Department of Justice



Kenneth A. Polite Jr.,  
Assistant Attorney General,  
Criminal Division,  
U.S. Department of Justice



John Demers, Assistant  
Attorney General,  
National Security Division,  
U.S. Department of Justice



Mary Jo White, Chair,  
U.S. Securities and  
Exchange Commission



Jay Clayton, Chair, U.S. Securities  
and Exchange Commission



Gary Gensler, Chair,  
U.S. Securities and  
Exchange Commission



Heath Tarbert, Chair,  
U.S. Commodity Futures  
Trading Commission



Damian Williams,  
U.S. Attorney, Southern  
District of New York



Breon Peace, U.S. Attorney,  
Eastern District of New York



Nicole Argentieri,  
Acting Assistant Attorney  
General, Criminal Division,  
U.S. Department of Justice



Geoffrey S. Berman,  
U.S. Attorney, Southern  
District of New York

## Message from the Dean

The Program on Corporate Compliance and Enforcement (PCCE) is a great example of what is possible when you bring together the best minds in a field—encompassing



academics, lawyers, judges, and industry professionals from across the country—to conceptualize and promote intelligent solutions to seemingly intractable problems. Under the expert guidance of Professor Jennifer Arlen, Executive Director Joseph

Facciponti, and Director of Operations Carolyn Pautz, PCCE has emerged as a leading program for expert, thoughtful discussion of enforcement policy, compliance, and corporate misconduct. I'm honored that the program takes place here at NYU Law.

PCCE's mission is clear: to promote effective enforcement and compliance in corporate settings and address the complex issues that arise in this ever-evolving landscape. From its inception, the program has organized numerous conferences, forums, and educational programs that provided platforms for diverse perspectives and encouraged collaborative efforts to tackle corporate misconduct effectively.

In light of these milestones, I'd like to extend my sincere appreciation to all who have contributed to PCCE's significant achievements. Your support and partnership will be critical to the program's continued success in developing innovative solutions to prevent and combat corporate misconduct.



Troy McKenzie  
*Dean and Cecelia Goetz Professor of Law, NYU School of Law*

## Message from the Faculty Director

For over a decade, PCCE has promoted effective reform of both enforcement policies governing organizational misconduct and corporate compliance functions. PCCE

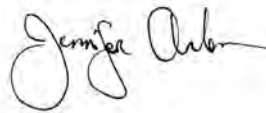


provides a unique independent and nonpartisan forum for high-level, off-the-record conversations and debates involving senior government officials, C-suite legal and compliance executives, academics, leading defense lawyers, and policymakers about how to

structure enforcement policy and compliance to effectively deter corporate misconduct. By gathering experts with a wide range of experiences and viewpoints, we undertake a collaborative process for understanding and deterring corporate misconduct; designing and implementing effective compliance programs; and establishing an effective process in accomplishing these goals.

In addition, PCCE has served and plans to continue to serve as a venue for senior enforcement officials from the Department of Justice, the Securities and Exchange Commission, and other agencies to announce and discuss major policy changes, including those involving voluntary self-disclosure and cooperation, whistleblowers, and the prosecution of culpable individuals involved in corporate crimes.

We also host a two-day Academy for members of boards of directors and C-suite officers; publish a legal blog, Compliance & Enforcement; offer evening panels on topics of pressing relevance and import; and provide NYU Law students with a variety of educational and networking opportunities to help them become leaders in these areas.



Jennifer Arlen  
*Norma Z. Paige Professor of Law; Faculty Director,  
Program on Corporate Compliance and Enforcement*

Throughout the ten years of its existence, PCCE has hosted senior government officials, many of whom have announced new enforcement policies.

## U.S. Department of Justice

U.S. Attorney General  
**Eric Holder**

Deputy Attorney General  
**Lisa Monaco**  
**Rod Rosenstein**  
**Sally Quillian Yates**

Principal Associate Deputy Attorney General  
**Marshall Miller**  
**Edward O'Callaghan '94**

Associate Deputy Attorney General  
**Virginia Chavez Romano**

Assistant Attorney General, Criminal Division  
**Nicole Argentieri (Acting)**  
**Brian Benczkowski**  
**Kenneth Blanco (Acting)**  
**Leslie Caldwell**  
**Kenneth Polite**  
**Mythili Raman (Acting)**

Assistant Attorney General, Antitrust Division  
**Makan Delrahim**

Assistant Attorney General, National Security Division  
**John Demers**

Assistant Attorney General, Civil Division  
**Joseph Hunt**

Assistant Attorney General, Environment and Natural Resources Division  
**Todd Kim**

Deputy Assistant Attorney General, Criminal Division  
**Matthew Miner**  
**Sung-Hee Suh**

Chief, Fraud Section, Criminal Division  
**Daniel Kahn (Acting)**  
**Jeffrey Knox**  
**Glenn Leon '93**  
**Sandra Moser**  
**Andrew Weissmann**

Compliance Counsel for the Criminal Division  
**Hui Chen**  
**Matthew Galvin**

Deputy Assistant Attorney General, Civil Division  
**Joyce Branda**

U.S. Attorneys  
**Geoffrey Berman (SDNY)**  
**Preet Bharara (SDNY)**  
**Breon Peace '96 (EDNY)**  
**Damian Williams (SDNY)**

## Regulatory Agencies

U.S. Securities & Exchange Commission (SEC)  
Chair  
**Jay Clayton**  
**Gary Gensler**  
**Mary Jo White**

SEC Director of Enforcement  
**Stephanie Avakian**  
**George Canellos**  
**Andrew Ceresney**  
**Gurbir Grewal**  
**Steven Peikin**  
**Sanjay Wadhwa (Acting)**

U.S. Commodity Futures Trading Commission (CFTC)  
Chair  
**Heath Tarbert**

CFTC Director of Enforcement  
**Aitan Goelman**  
**Gretchen Lowe (Acting)**  
**James McDonald**  
**Ian McGinley '06**

Department of Health & Human Services  
Chief Counsel to the Inspector General  
**Gregory Demske**

Federal Trade Commission  
Commissioner  
**Rebecca Kelly Slaughter**

## U.S. Federal Judges

**Hon. John Gleeson (EDNY)**  
**Hon. Gerard Lynch (Second Circuit)**  
**Hon. Raymond Lohier Jr. '91 (Second Circuit)**  
**Hon. Jed Rakoff (SDNY)**

## State Agencies

New York Department of Financial Services  
Superintendent  
**Adrienne Harris**  
**Linda Lacewell**  
**Ben Lawsky**  
**Maria T. Vullo '87**



Cheryl James, VP and Chief of Staff to the Chief Legal & Administrative Officer, New York Life Insurance Company



Matt Miner, Executive Vice President and Global Chief Compliance Officer, Walmart, and Natalie Lamarque, General Counsel and Secretary, Principal Financial Group at the 2023 Directors' Academy



Doug Lankler, Executive Vice President and General Counsel, Pfizer, and Bonnie Jonas, Co-CEO and Co-Founder, Pallas Global Group at the 2023 Directors' Academy



Stephanie Avakian, Partner, WilmerHale, 2023 SEC Roundtable

## 4

Leadership Team

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and Senior Fellows

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Federal Government Policy  
Speeches and Events 2024–2025

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International Reach and Significant  
Foreign Government Speakers

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Student Fellows and  
*Compliance & Enforcement Blog*



## Jennifer Arlen

### **Norma Z. Paige Professor of Law; Founder and Faculty Director**

Jennifer Arlen '86 is one of the nation's leading scholars on corporate and individual enforcement for organizational misconduct. She was the Associate Reporter for criminal, civil, and administrative enforcement against individuals and companies for organizational misconduct in the American Law Institute's *Principles of Law, Compliance and Enforcement for Organizations* (2025).

She served as President of the American Law and Economics Association in 2018-19 and on the Board between 1991-93 and 2006-09. She co-founded and is the former President of the Society for Empirical Legal Studies. She serves on the Editorial Board of the *American Law and Economics Review*. In 2018, she published an edited volume, *Research Handbook on Corporate Crime and Financial Misdealing*. Arlen teaches Corporations, Business Crime, and a seminar on Corporate Crime and Financial Misdealing. Arlen received her B.A. in economics from Harvard College (1982, magna cum laude) and her J.D. (1986, Order of the Coif) and Ph.D. in economics (1992) from New York University. Arlen has been a Visiting Professor at the California Institute of Technology, Harvard Law School, and Yale Law School, and was the Ivadelle and Theodore Johnson Professor of Law and Business at USC Gould School of Law before coming to NYU. She clerked for Judge Phyllis Kravitch on the U.S. Court of Appeals for the 11th Circuit.



## Joseph P. Facciponti

### **Executive Director**

Joseph Facciponti is a former federal prosecutor and in-house legal department leader whose experience is in white-collar defense, internal investigations, cybersecurity, and data privacy.

For nine years, Facciponti served as a federal prosecutor at the SDNY, where he handled cases involving computer hacking, fraud, money laundering, and intellectual property theft. In 2010, he received an FBI Director's Award for outstanding cyber investigation. After leaving the SDNY, Facciponti held a senior supervisory position in the legal department of HSBC, where he was responsible for leading global internal investigations, advising HSBC on remedial measures and compliance policy changes, and advocating for the bank before U.S. and foreign regulators and HSBC's monitor. Prior to joining PCCE, Facciponti spent six years in private practice counseling individual and corporate clients on financial crime, cybersecurity, and data privacy issues, and also served on the SDNY's Criminal Justice Act panel representing indigent defendants in criminal proceedings. Facciponti is also an adjunct professor at NYU School of Law and Cornell Law School. He holds a JD from Cornell Law School (magna cum laude, Order of the Coif) and holds a BA in Philosophy from Yale University.



## Carolyn R. Pautz, PhD

### **Director of Operations**

Carolyn Pautz works in research and strategic planning for business, policy and the arts. She holds a PhD from Temple University ('19), focusing on issues of post/secularism in American civil discourse and the public sphere. Her scholarship has been published in *American Psychologist Journal*, the *International Journal for Cultural Property*, *The Journal of Ecumenical Studies*, and the *Society for*

*Dance History Scholars* and has been utilized in several public reports published by the City of New York. Carolyn has built and led nonprofit research teams focused on the arts and small business sectors in major U.S. cities. Her portfolio of projects on the relationship between racism and increased operational overhead for Black-owned businesses has received grants from the NEA. She has led regranteeing initiatives, conducted peer reviews and program audits, and managed the life cycle of research projects from inception to policy implementation. She is the recipient of the Edrie Ferdun Scholarly Achievement Award for her work on the WIPO's intellectual property guidelines for folk art. Notable reports include accessibility in and suggested reforms of the NYC City Council's discretionary funding process; the impact of immigration reforms on the commercial dance industry; crisis management on NYC's creative economy; and post/secularism within American civil discourse. She serves on the Board of Directors for the African Burial Ground Memorial Foundation.

The PCCE Board of Advisors is comprised of internationally-recognized experts who advise PCCE's leadership team on the most important issues in the areas of compliance and enforcement. The Board of Advisors acts in an advisory capacity only and does not directly oversee the activities of PCCE. All members of the Board of Advisors serve in their individual capacity.

**Nicole Argentieri**

Partner, Cravath, Swaine & Moore

**Stephanie Avakian**

Partner, WilmerHale LLP

**Martine M. Beamon**

Partner, Davis Polk & Wardwell LLP

**Douglas Bloom**

Managing Director and Co-Head,  
Cybersecurity and Privacy Law,  
Morgan Stanley

**Maria Douvas**

Chief Legal Officer,  
Royal Bank of Canada

**Lawrence Gerschwer**

Partner, Barnes & Thornburg LLP

**Avi Gesser**

Partner, Debevoise & Plimpton LLP

**Gurbir Grewal**

Partner, Milbank LLP

**Hon. Diane Gujarati**

U.S. District Judge, U.S. District  
Court for the Eastern District  
of New York

**Cheryl James**

Vice President and Chief of Staff,  
New York Life Insurance Company

**Randall W. Jackson**

Partner, Wachtell, Lipton,  
Rosen & Katz

**Bonnie B. Jonas**

Co-Founder and Co-CEO,  
Pallas Global Group LLC;  
Partner, Jonas & Moller LLP

**Daniel S. Kahn**

Partner, Davis Polk & Wardwell LLP

**Brad S. Karp**

Chair, Paul, Weiss, Rifkind,  
Wharton & Garrison LLP

**Bruce Karpati**

Partner and Global Chief Compliance  
Officer, KKR

**Jacquelyn M. Kasulis**

Partner, Kirkland & Ellis LLP

**Nancy Kestenbaum**

Partner and Co-Chair, White Collar  
Defense and Investigations Practice,  
Covington & Burling LLP

**Natalie Lamarque**

General Counsel and Secretary,  
Principal Financial Group

**Douglas Lankler**

Executive Vice President and General  
Counsel, Pfizer Inc.

**Sharon Cohen Levin**

Partner, Sullivan & Cromwell LLP

**Hon. Raymond J. Lohier Jr. '91**

U.S. Circuit Judge, U.S. Court of  
Appeals for the Second Circuit

**Hon. Loretta E. Lynch**

former United States Attorney  
General; Partner, Paul, Weiss,  
Rifkind, Wharton & Garrison LLP

**M. Kristin Mace**

Partner, Covington & Burling, LLP

**Jonathan Martin**

Vice President and Deputy  
General Counsel, Meta

**David Meister**

Partner, Skadden, Arps, Slate,  
Meagher & Flom LLP

**Marshall Miller**

Partner, Hecker Fink LLP

**Steven R. Peikin**

Partner and Head, Securities and  
Commodities Investigations  
and Enforcement Practice,  
Sullivan & Cromwell LLP

**Preston Pugh**

Partner, Crowell and Moring LLP

**Hon. Jed S. Rakoff**

U.S. District Judge, U.S. District  
Court for the Southern District  
of New York

**Michele Siano**

Executive Vice President and  
Chief Compliance Officer, MetLife

**John F. Savarese**

Of Counsel, Wachtell, Lipton,  
Rosen & Katz

**David Szuchman**

Senior Vice President and Global  
Head, Financial Crimes and  
Customer Protection, PayPal

**My Chi To**

Executive Vice President,  
Chief Legal Officer, and Corporate  
Secretary, Reinsurance Group  
of America

**Douglas K. Yatter**

Partner and Global Vice  
Chair, White Collar Defense &  
Investigations Practice,  
Latham & Watkins LLP

**Jennifer Zachary**

Executive Vice President and General  
Counsel, Merck & Co., Inc.



## Stephen Choi

**Bernard Petrie Professor of Law and Business; Director, Pollack Center**

Professor Stephen Choi is a nationally and internationally recognized expert on empirical analysis of securities fraud litigation, capital markets, and corporate governance. He graduated first in his class from Harvard Law School in 1994—where he served as Supervising Editor of *Harvard Law Review*—and received his Ph.D. in economics from Harvard in 1997. Prior to coming to NYU, Choi was on the faculty of the University of Chicago Law School and the University of California, Berkeley, School of Law. He also has held John M. Olin, Jacob K. Javits, and Fulbright Fellowships.



## Kevin E. Davis

**Beller Family Professor of Business Law; Faculty Director, Hauser Global Law School**

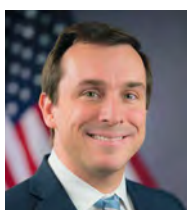
Kevin Davis' research and teaching focus on commercial law, anti-corruption law, and the general relationship between law and economic development. His publications include over 50 articles and essays, four edited volumes, and a monograph, *Between Impunity and Imperialism: The Regulation of Transnational Bribery* (Oxford University Press, 2019). He holds a B.A. from McGill University, an LL.B. from the University of Toronto, and an LL.M. from Columbia University. He served as law clerk to Justice John Sopinka of the Supreme Court of Canada. Prior to coming to NYU, he was a tenured member of the faculty at the University of Toronto, Faculty of Law.



## Daniel Francis

**Assistant Professor of Law, NYU School of Law**

Daniel Francis JSD '20 teaches and writes about antitrust and regulation. He previously served in the anti-trust arm of the Federal Trade Commission in a number of roles, including Deputy Director and Associate Director for Digital Markets. Francis previously spent ten years in private practice. He holds degrees in law from Trinity College, University of Cambridge; Harvard Law School; and NYU School of Law. He is the co-author of *Antitrust: Principles, Cases, and Materials* (ABA, 2023), a free casebook for teachers and students of US antitrust law.



## Robert J. Jackson Jr.

**Nathalie P. Urry Professor of Law; Director, Jacobson Leadership Program in Law and Business; Co-Director, Institute for Corporate Governance & Finance**

A nationally and internationally recognized scholar on securities fraud and corporate governance, Robert J. Jackson Jr. also has devoted much of his career to public service. From 2017 to 2020, he was a Commissioner at the U.S. Securities and Exchange Commission. Previously, he was a Senior Policy Advisor at the U.S. Treasury Department and was Deputy to Treasury's Special Master on Executive Compensation. He holds two undergraduate degrees (in finance and philosophy) from the University of Pennsylvania, an MBA from the Wharton School of Business, a master's degree in public policy from Harvard's Kennedy School, and a law degree from Harvard. Prior to coming to NYU, Professor Jackson was on the faculty of Columbia Law School.



## Florencia Marotta-Wurgler

**Boxer Family Professor of Law; Co-Director, Jacobson Leadership Program in Law and Business; Co-Director, Center for Law, Economics, and Organization**

Florencia Marotta-Wurgler '01 focuses on contracts, consumer privacy, consumer law, electronic commerce, empirical legal studies, and law and economics. She has participated in FTC hearings and testified before the US Senate. She is a co-reporter of the American Law Institute's Restatement of the Law of Consumer Contracts, a member of the Scientific Advisory Board of the Max Planck Institute for Research on Collective Goods, and a former member of the board of directors of the American Law and Economics Association. Professor Marotta-Wurgler received a BA with honors from the University of Pennsylvania and a JD cum laude from NYU School of Law.



## Geoffrey P. Miller

**Stuyvesant P. Comfort Professor of Law; Director, Center for Financial Institutions;  
Faculty Co-Director, Center on Civil Justice**

Geoffrey P. Miller was Co-Faculty Director of PCCE until May 2017. He currently serves as Reporter for the American Law Institute's Principles of the Law, Compliance and Enforcement for Organizations and authored the first legal casebook on compliance, *The Law of Governance, Risk Management, and Compliance*. Professor Miller received his B.A. magna cum laude from Princeton University in 1973 and his J.D. in 1978 from Columbia Law School, where he was Editor-in-Chief of the *Columbia Law Review*. He clerked for Judge Carl McGowan of the U.S. Court of Appeals for the D.C. Circuit and Justice Byron White of the U.S. Supreme Court. Professor Miller is a 2011 inductee into the American Academy of Arts and Sciences.



## Andrew Weissmann

**Professor of Practice**

Andrew Weissmann has had a long and distinguished career in public service. From 2017 to 2019, he served as a lead prosecutor in Robert S. Mueller's Office of Special Counsel and also as Chief of the Fraud Section of the Department of Justice. From 2011 to 2013, he served as General Counsel for the FBI. From 2002 to 2005, he served as the Deputy and then the Director of the Enron Task Force. Weissmann was a federal prosecutor for 15 years in the Eastern District of New York, where he served as the Chief of the Criminal Division. He has a J.D. from Columbia Law School and a B.A. from Princeton University and attended the University of Geneva on a Fulbright Fellowship.

## Senior Fellows

**Thomas C. Baxter Jr.**, retired, Sullivan & Cromwell; formerly General Counsel and Executive Vice President, Federal Reserve Bank of New York.

**Mark Carawan**, formerly Chief Compliance Officer, Citigroup, and Partner, Andersen Global and Deloitte LLP.

**Timothy J. Lindon '80**, Adjunct Professor of Law, NYU School of Law; formerly Vice President and Chief Compliance Officer, Philip Morris International; Senior Advisor, Ethics and Compliance Initiative.

**Kathryn S. Reimann '82**, Adjunct Professor of Law, NYU School of Law; Independent Director, Lending Club; formerly Senior Managing Director, Treliant; Chief Compliance Officer, Citibank N.A. and Citi Global Consumer Banking; and Global Compliance Head and Managing Counsel, American Express.

**Jonathan J. Rusch**, Adjunct Professor, Georgetown University Law Center, and Editor of *Dipping Through Geometries* (a blog focusing on law and compliance issues); retired Senior Vice President and Head of Anti-Bribery & Corruption Governance, Wells Fargo; formerly Deputy Chief for Strategy and Policy, Fraud Section, U.S. Department of Justice's Criminal Division.

**Charles V. "Chuck" Senatore**, Founder, Boston Regtech Meetup; Member, Massachusetts Secretary of State's Fintech Advisory Working Group; formerly Head of Risk Oversight, Fidelity Investments' Devonshire Investors Unit.

**Steven Solow '85**, Principal, Solow PLLC; Managing Director, Affiliated Monitors; former Court-Appointed Compliance Monitor, Carnival Cruise Lines; and former Chief, Environmental Crimes Section, DOJ.

**Edward M. Stroz**, Entrepreneur and Cyber Risk Consultant; Founder, Stroz Friedberg, LLC.

# Senior DOJ Officials Discuss the Criminal Division's Newly Announced Whistleblower Pilot Program

September 17, 2024



Nicole Argentieri, Principal Deputy Assistant Attorney General, Criminal Division, U.S. Department of Justice

**Keynote Speaker:**  
Nicole Argentieri

**Fireside Chat:**  
Brent Wible

**Panel Discussion:**

**Margaret (Molly) Moeser**, Chief, MLARS, Criminal Division, U.S. Department of Justice

**Jane Norberg**, Partner, Arnold & Porter LLP

**Preston Pugh**, Partner, Crowell & Moring LLP

**Daniel Richman**, Paul J. Kellner Professor of Law, Columbia Law School

**Max Rodriguez '15**, Principal, Max Rodriguez PLLC

**Andrew Weissmann**, Professor of Practice, NYU School of Law



Margaret (Molly) Moeser, Chief, MLARS, Criminal Division, U.S. Department of Justice



Preston Pugh, Partner, Crowell & Moring



Alicia Syrett, Founder & CEO, Pantegrion Capital



Daniel Richman, Professor, Columbia Law School; Max Rodriguez '15, Principal, Max Rodriguez PLLC; and Jane Norberg, Partner, Arnold & Porter LLP



Brent Wible, Nicole Argentieri, Troy McKenzie, Dean, NYU School of Law, and Margaret Moeser



Brent Wible, Chief Counselor, Criminal Division, U.S. Department of Justice and Jennifer Arlen, Faculty Director, PCCE

# Antitrust Enforcement Policy Roundtable

September 19, 2024

PCCE hosted a roundtable discussion of senior leaders of the U.S. Department of Justice's Antitrust Division, industry experts, academics, in-house professionals, and defense counsel about reforming the Antitrust Division's Corporate Leniency policies.



Jennifer Arlen, Faculty Director, PCCE; Emma Burnham, Director of Enforcement, Antitrust Division, U.S. Department of Justice



Daniel Francis, Professor, NYU Law



Thomas Mueller, Partner, Wilmer Cutler Pickering Hale & Dorr



Richard Powers, Partner, Kressin Powers



Tee St. Matthew-Daniel, Partner, Paul, Weiss, Rifkind, Wharton & Garrison

## PCCE 10th Anniversary Conference

April 15, 2024

To celebrate PCCE's 10th Anniversary, PCCE hosted a conference examining the latest trends for whistleblowers and corporate compliance programs as well as a special 10th Anniversary Panel that explored the past decade of corporate enforcement policy reform and what future changes should be considered.



Andrea Griswold, Deputy U.S. Attorney, Southern District of New York



Gurbir Grewal, Director of Enforcement, SEC



Nicole Argentieri, Principal Deputy Assistant Attorney General, Criminal Division, U.S. Department of Justice



Martine Beamon, Partner,  
Davis Polk & Wardwell



Michele Siano, EVP & Chief  
Compliance Officer, MetLife



My Chi To, Chief Legal Officer, Voya; Antonia Apps, Deputy Director of  
Enforcement, SEC; Jennifer Arlen, Faculty Director, PCCE



Stephanie Avakian, Partner,  
Wilmer Cutler Pickering Hale & Dorr



Marshall Miller, Principal Associate Deputy  
Attorney General, U.S. Department of Justice



Erika Kelton, Partner,  
Phillips & Cohen



Jisha Dymond, Chief Ethics &  
Compliance Officer, OneTrust

#### Keynotes:

**Nicole Argentieri**, Principal Deputy  
Assistant Attorney General, Criminal  
Division, U.S. Department of Justice

**Gurbir Grewal**, Director of  
Enforcement, SEC

**Andrea Griswold**, Deputy  
U.S. Attorney, Southern District  
of New York

#### Panels Included:

Whistleblowers: How to Induce  
Reporting to Reveal Corporate  
Misconduct

10th Anniversary Panel: Reviewing  
the Evolution of Corporate  
Enforcement Policy Over the  
Past Decade

Corporate Compliance Programs:  
What's Worked and What Can Be  
Improved

#### Select Speakers:

##### Government:

**Matt Galvin**, Counsel, Compliance  
& Data Analytics, DOJ

**Daniel Gitner**, Chief, Criminal  
Division, SDNY

**Marshall Miller**, Principal Associate  
Deputy Attorney General, DOJ

**Brent Wible**, Acting Senior Counsel,  
Criminal Division, DOJ

##### In-House:

**Michele Siano**, EVP and Chief  
Compliance Officer, MetLife

**Sung-Hee Suh**, General Counsel,  
PIMCO

##### Academic:

**Miriam Baer**, Vice Dean and  
Centennial Professor of Law,  
Brooklyn Law School

**Andrew Weissmann**, Professor  
of Practice, NYU School of Law

##### External Counsel and Consultants:

**Stephanie Avakian**, Partner,  
WilmerHale LLP

**Martine Beamon**, Partner,  
Davis Polk & Wardwell

**Andrew Ceresney**, Partner,  
Debevoise & Plimpton

**Erika Kelton**, Partner, Phillips &  
Cohen LLP

**Dr. Andreas Pohlmann**, Founding  
Partner, Pohlmann & Company

# New Directions in Corporate and Individual Enforcement

November 22, 2024

Sanjay Wadhwa, Acting Director of Enforcement, SEC



### Keynotes:

**Nicole Argentieri**, Principal Deputy Assistant Attorney General, Criminal Division, U.S. Department of Justice

**Sanjay Wadhwa**, Acting Director of Enforcement, SEC

### Panels Included:

Assessing the Impact of DOJ's Reforms to Corporate and Individual Enforcement Policy

Effectively Addressing Corporate Recidivism

AI Enforcement

The SEC's Focus on Cybersecurity Disclosures and the SolarWinds Case

### Select Speakers:

#### Government:

**Antonia Apps**, Director, New York Regional Office, SEC

**Michael Atleson**, Senior Staff Attorney, Bureau of Consumer Protection, FTC

**Glenn Leon**, Chief, Fraud Section, DOJ

**Lisa Miller**, Deputy Assistant Attorney General, Criminal Division, DOJ

**Marshall Miller**, Principal Associate Deputy Attorney General, DOJ

**Hon. Jed Rakoff**, U.S. District Judge for the Southern District of New York

#### In-House:

**Douglas Bloom**, Managing Director, Co-Head Cybersecurity and Privacy Law, Morgan Stanley

**Judi Germano**, Board Member, Dime Community Bank; Founder, GermanoLaw; Distinguished Fellow, NYU Center for Cybersecurity

**Lucy Muzzy**, Assistant General Counsel, Pfizer

**Jennifer Zachary**, General Counsel, Merck

#### External Counsel:

**George S. Canellos**, Partner, Milbank

**Brad Karp**, Chair, Paul Weiss Rifkind Wharton & Garrison

**Jacquelyn Kasulis**, Partner, Kirkland & Ellis

**Kristin Mace**, Partner, Covington & Burling

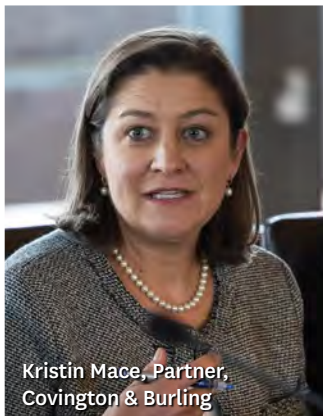
**David Meister**, Partner, Skadden, Arps, Slate, Meagher & Flom



Nicole Argentieri, Principal Deputy Assistant Attorney General, Criminal Division, U.S. Department of Justice



Douglas Bloom, Managing Director, Co-Head Cybersecurity and Privacy Law, Morgan Stanley



Kristin Mace, Partner, Covington & Burling



David Meister, Partner, Skadden



Jennifer Zachary, General Counsel, Merck; Jacquelyn Kasulis, Partner, Kirkland & Ellis; Marshall Miller, Principal Associate Deputy Attorney General, DOJ; Joseph Facciponti, Executive Director, PCCE; Brad Karp, Chair, Paul Weiss; Jennifer Arlen, Faculty Director, PCCE

# Managing Effective Ethics and Compliance Programs in a Changing Regulatory Landscape

April 11, 2025

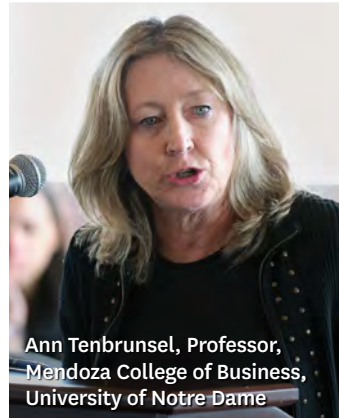
Therese Chambers, Joint Executive Director, Enforcement and Market Oversight, U.K. Financial Conduct Authority



Adrienne Harris, Superintendent, New York Department of Financial Services



Matt Galvin, Co-Founder, Gentic Global Advisors



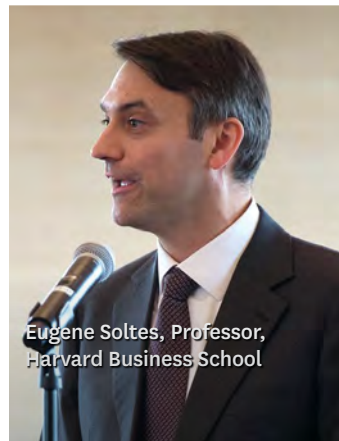
Ann Tenbrunsel, Professor, Mendoza College of Business, University of Notre Dame



George Soterakis, VP, Head of Global Investigations Unit, MetLife



Nancy Grygiel, SVP, Chief Compliance Officer, Amgen



Eugene Soltes, Professor, Harvard Business School



Steven Peikin, Partner, Sullivan & Cromwell

## Keynotes:

**Adrienne Harris**, Superintendent, New York Department of Financial Services

**Therese Chambers**, Joint Executive Director, Enforcement and Market Oversight, U.K. Financial Conduct Authority

## Presentations:

**Matt Galvin**, Co-Founder, Gentic Global Advisors

**Eugene Soltes**, Professor, Harvard Business School

**Ann Tenbrunsel**, Professor, Mendoza College of Business, University of Notre Dame

## Selected Speakers:

### In-House:

**Nancy Grygiel**, SVP, Chief Compliance Officer, Amgen

**Lynn Haaland**, General Counsel, CLEAR

**Carl Hahn**, former Vice President, Chief Ethics & Compliance Officer, Northrup Grumman

**Samantha Kappagoda**, Independent Director, Credit Suisse Funds and Chief Data Scientist, Numerati® Partners LLC

**George Soterakis**, VP, Head of Global Investigations Unit, MetLife

**My Chi To**, EVP, Chief Legal Officer, and Corporate Secretary, Voya

### External Counsel & Consultants:

**Stephanie Avakian**, Partner, WilmerHale LLP

**Erika Kelton**, Partner, Phillips & Cohen LLP

**Steven Peikin**, Partner, Sullivan & Cromwell

# 2024 Directors' Academy

October 31 & November 1, 2024

PCCE's Directors' Academies provide directors and c-suite officers of for-profit corporations and non-profits with expert guidance on corporate governance, shareholder activism, business risk management, legal risk management, cybersecurity, and governance of climate change risks, among other subjects. Breakout sessions cover topics such as accounting fundamentals, AI, governance of committees, emerging technologies, sexual harassment, and governance of privately held companies.



Dan Houston, CEO, Principal Financial



Alicia Syrett, Founder, Madam Chair & Pantegrion Capital

**Keynotes:**

**Erik Gerding**, Director of Corporation Finance, U.S. Securities and Exchange Commission

**Dan Houston**, CEO, Principal Financial

**Marshall Miller**, Principal Associate Deputy Attorney General, U.S. Department of Justice

**Fireside Chats:**

**Eun Young Choi**, Deputy Assistance Attorney General, National Security Division, U.S. Department of Justice

**Ilona Cohen**, Chief Legal Officer, Chief Policy Officer, and Corporate Secretary, HackerOne

**Hon. Travis Laster**, Vice Chancellor, Delaware Chancery Court

**Alicia Syrett**, Founder, Madam Chair & Pantegrion Capital

**Kenji Yoshino**, Professor, NYU School of Law



Marshall Miller, Principal Associate Deputy Attorney General, U.S. Department of Justice



Hon. Travis Laster, Vice Chancellor, Delaware Chancery Court



Erik Gerding, Director of Corporation Finance,  
U.S. Securities and Exchange Commission



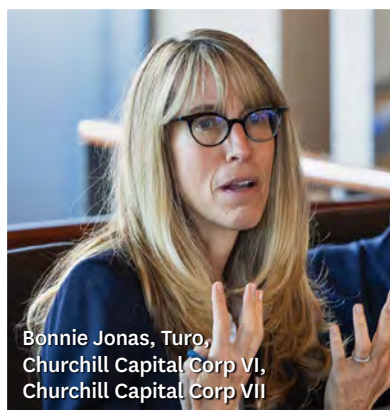
Douglas Lankler,  
EVP and General  
Counsel, Pfizer



Nancy Kestenbaum,  
Partner, Covington & Burling



Natalie Lamarque,  
General Counsel and  
Secretary, Principal  
Financial



Bonnie Jonas, Turo,  
Churchill Capital Corp VI,  
Churchill Capital Corp VII



Stuart Levey,  
EVP & Chief Legal  
Officer, Oracle



Avi Gesser, Partner,  
Debevoise & Plimpton

**Select Speakers on Boards and their Board Service:**

**Linda Addison,** Globe Life, Lexitas

**Sheila Bangalore,** StoneAge Waterblast Tools, Games Global

**Linda Bo-Linn,** Flux Power, Data I/O, KORE Wireless, Blackline Safety

**Stephen Cutler,** Lending Club

**Nithya Das,** Outbrain

**Urs Foley,** Provident Financial Services & Bank, Greenlight Capital Re

**Jamie Gorelick,** Amazon, Verisign

**David Greenberg,** International Seaways

**Ike Harris,** Lumentum, ZT Systems

**Ellen Jewett,** Booz Allen Hamilton, JetBlue

**Bonnie Jonas,** Turo, Churchill Capital Corp VI, Churchill Capital Corp VII

**Samantha Kappagoda,** Credit Suisse Funds

**Darren McDew,** USAA, Parsons Corporation, Abbott Laboratories

**Nik Mittal,** JetBlue Airways

**Alisa Norris,** Vitamix, Standard Motors

**Larry Quinlan,** UBS Americas, ServiceNow, JLL,

Booking Holdings, Delinea  
**Lisa Shalett,** MPower Partners, PennyMac

**Jane Sherburne,** Perella Weinberg Partners, HSBC North America Holdings, Teledyne Technologies

**Elane Stock,** FEMSA, Reckitt

**Judy Titera,** MS Transverse, Nemours Children's Health System

**Other Select Speakers and their Employers:**

**Douglas Bloom,** Morgan Stanley

**Ian Conner,** Latham & Watkins

Wendy Fletcher, Deloitte

**Daniel Francis,** NYU Law

**Daniel Kahn,** Davis Polk & Wardwell

**David Katz,** Wachtell, Lipton, Rosen & Katz

**Rady Johnson,** Pfizer

**Doug Lankler,** Pfizer

**Lynn LaPierre,** Spencer Stuart

**Stuart Levey,** Oracle

**Christina Montgomery,** IBM

**Sebastian Niles,** Salesforce

**Kathy O'Neill,** Cooley LLP

**Tensie Whelan,** NYU Stern

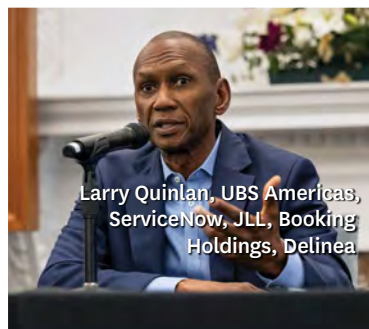
**Ann Yerger,** Spencer Stuart



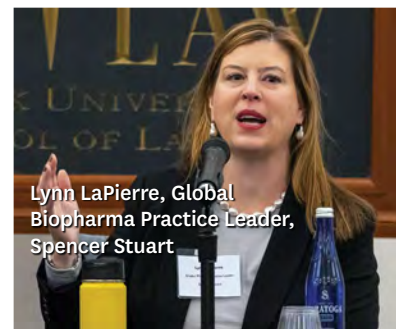
Jane Sherburne,  
Perella Weinberg Partners,  
HSBC North America Holdings,  
Teledyne Technologies



Lisa Shalett, Board Chair,  
MPower Partners; Co-Founder,  
Extraordinary Women  
on Boards



Larry Quinlan, UBS Americas,  
ServiceNow, JLL, Booking  
Holdings, Delinea



Lynn LaPierre, Global  
Biopharma Practice Leader,  
Spencer Stuart

# 2023 Directors' Academy

September 21-22, 2023



Heather Lavallee, Chief Executive Officer, Voya Financial Inc.



John Savarese, Partner, Wachtell, Lipton, Rosen & Katz



Brad Karp, Chairman, Paul, Weiss, Rifkind, Wharton & Garrison LLP

### Keynotes:

**Gurbir Grewal**, Director of Enforcement, U.S. Securities and Exchange Commission

**Heather Lavallee**, Chief Executive Officer, Voya Financial Inc.

**Marshall Miller**, Principal Associate Deputy Attorney General at the U.S. Department of Justice

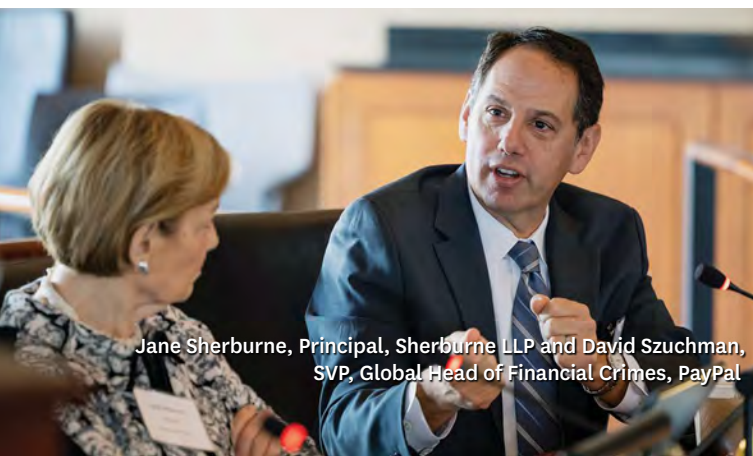
### Fireside Chat:

**Daniel Marx**, Partner and General Counsel, Triam Fund Management, L.P.

**Ryan Bunch**, Partner and Analyst, Triam Fund Management, L.P.



Gurbir Grewal, Director of Enforcement, U.S. Securities and Exchange Commission



Jane Sherburne, Principal, Sherburne LLP and David Szuchman, SVP, Global Head of Financial Crimes, PayPal



Tom Glocer, BlueVoyant LLC, Morgan Stanley, and Angela Braly, Procter & Gamble, ExxonMobil, Brookfield Corporation

# 2022 Directors' Academy

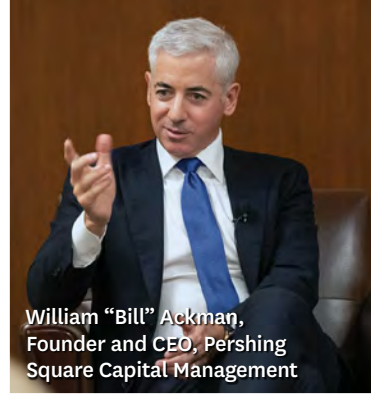
October 12-14, 2022



Martin Lipton, Founding Partner, Wachtell, Lipton, Rosen & Katz



Jane Sherburne, Principal, Sherburne PLLC



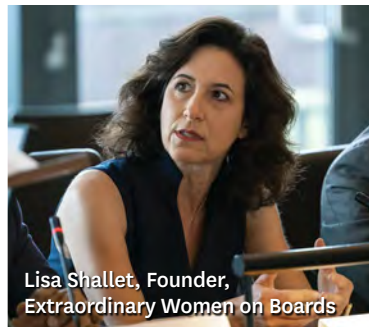
William "Bill" Ackman, Founder and CEO, Pershing Square Capital Management



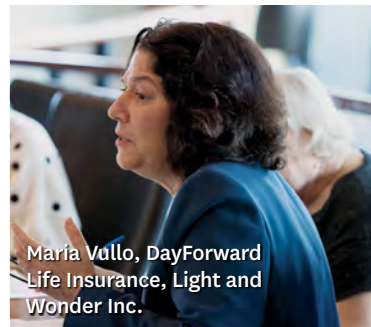
Martine Beamon, Partner, Davis Polk



Thomas (Todd) Gibbons, former CEO, BNY Mellon



Lisa Shallet, Founder, Extraordinary Women on Boards



Maria Vullo, DayForward Life Insurance, Light and Wonder Inc.



Carla Peterman, Executive Vice President, Corporate Affairs and Chief Sustainability Officer, PG&E and Sabastian Niles, Partner, Wachtell, Lipton, Rosen & Katz

### Keynotes:

- William Ackman**, Founder and CEO, Pershing Square Capital Management
- Thomas P. (Todd) Gibbons**, CEO, BNY Mellon
- Gurbir Grewal**, Director of Enforcement, Securities and Exchange Commission
- Martin Lipton**, Founding Senior Partner, Wachtell, Lipton, Rosen & Katz
- Andy Sieg**, President, Merrill Lynch Wealth Management



Extraordinary Women on Boards (EWOB)

# Deputy Attorney General Lisa Monaco Announces New Corporate Enforcement Policy

September 15, 2022

**Lisa O. Monaco**, Deputy Attorney General, U.S. Department of Justice, delivered a speech that announced the DOJ's changes to the corporate enforcement guidelines, outlining how the DOJ will consider self-disclosure of misconduct, cooperation, and recidivism when making corporate charging decisions and entering into resolutions with firms. After the speech, Deputy Attorney General Monaco took questions from the audience, which consisted of senior enforcement counsel, experienced white collar defense attorneys, and senior legal and compliance leadership from businesses.



Manal Sultan, CFTC; Gates Hurand, CFTC; Douglas Yatter and Dan Morales, Latham & Watkins; Leila Babaeva, DOJ



Judge Jesse Furman, SDNY; Pablo Quinones, Quinones Law; Larry Gerschwer, Barnes & Thornburg; Jane Levine, DailyPay



Damian Williams, U.S. Attorney, SDNY; Vanessa Avery, U.S. Attorney, District of Connecticut; Breon Peace, U.S. Attorney, EDNY



Paul Fishman, Partner, Arnold & Porter and former U.S. Attorney, District of New Jersey; Gurbir Grewal, Director of Enforcement, SEC

# Roundtable on SEC Enforcement Policy

September 6, 2023



Former SEC Directors of Enforcement Andrew Ceresney, George Canellos, and Stephanie Avakian



Former SEC Director Steven Peikin



Sean McKessey, Partner, Phillips & Cohen and Miriam Baer, Vice Dean and Professor, Brooklyn Law School.

# CFTC Enforcement Director Ian McGinley Announces Updates to the Commodity Futures Trading Commission's Corporate and Individual Enforcement Policies

October 17, 2023



David Meister, Douglas Yatter, Elizabeth Davis, Jennifer Arlen, and James McDonald



Christy Goldsmith Romero, Commissioner, CFTC, and Manal Sultan, Deputy Director of Enforcement, CFTC



Jay Clayton, Chair, U.S. Securities and Exchange Commission

## SEC Enforcement Priorities Roundtable

September 5, 2017

## Conference on Detering Corporate Crime and Multiple Enforcers

October 6, 2017



Rod Rosenstein, Deputy Attorney General, DOJ

## The Impact of the FCPA and OECD Anti-Bribery Convention

November 17, 2017

PCCE hosted the first conference on anti-corruption jointly organized by the DOJ, SEC, and OECD.



Kenneth Blanco, Acting Assistant Attorney General, Criminal Division, U.S. Department of Justice



Steven Peikin, Co-Director, Division of Enforcement, U.S. Securities and Exchange Commission



Drago Kos, Chair, Working Group on International Bribery, OECD



Daniel Kahn, Acting Chief, Fraud Section, DOJ



## Fireside Chat with New CFTC Chairman Heath Tarbert

September 10, 2019



## A New Model for Incentivizing Antitrust Compliance Programs

November 14, 2018

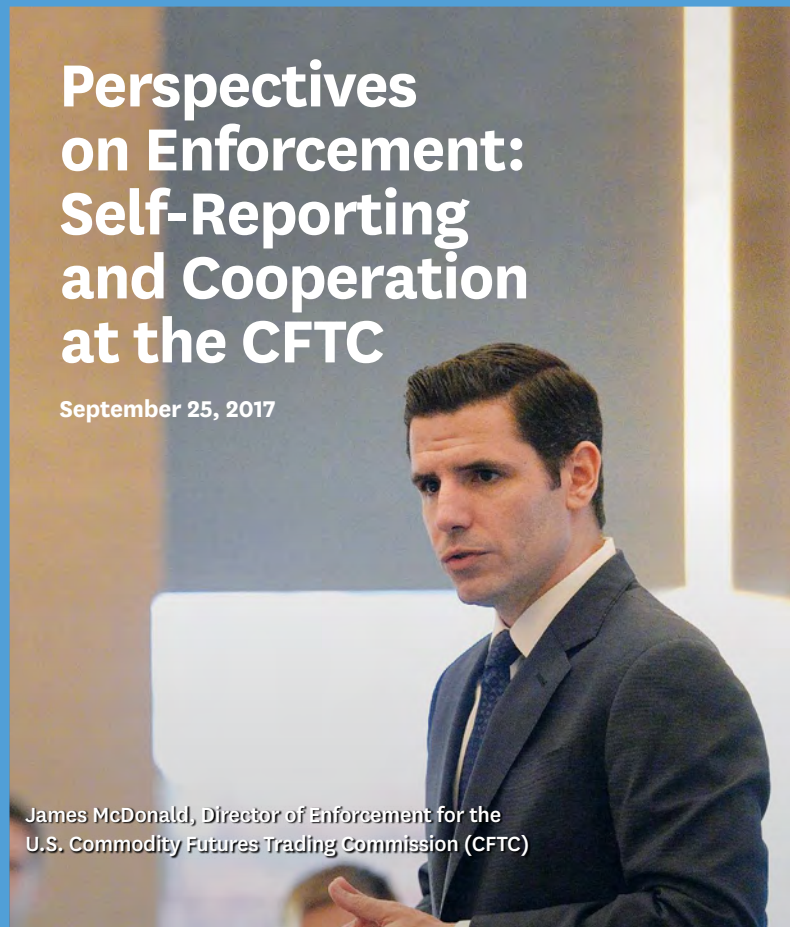
Makan Delrahim, Partner, Latham & Watkins, and former Assistant Attorney General, Antitrust Division, U.S. Department of Justice



## Conference on Global Cyber Threats

April 6, 2018

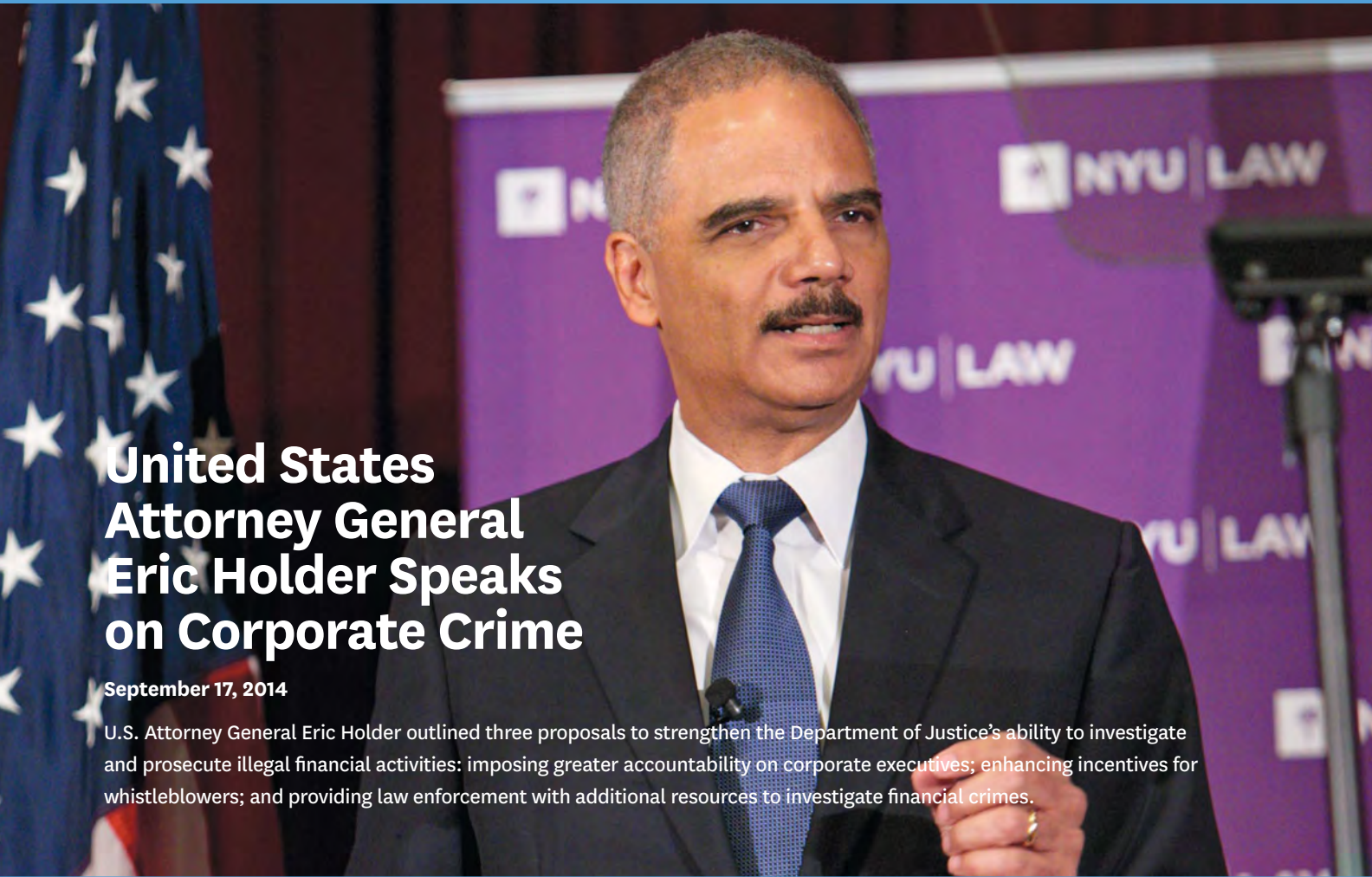
John Demers, Assistant Attorney General, National Security Division, U.S. Department of Justice



## Perspectives on Enforcement: Self-Reporting and Cooperation at the CFTC

September 25, 2017

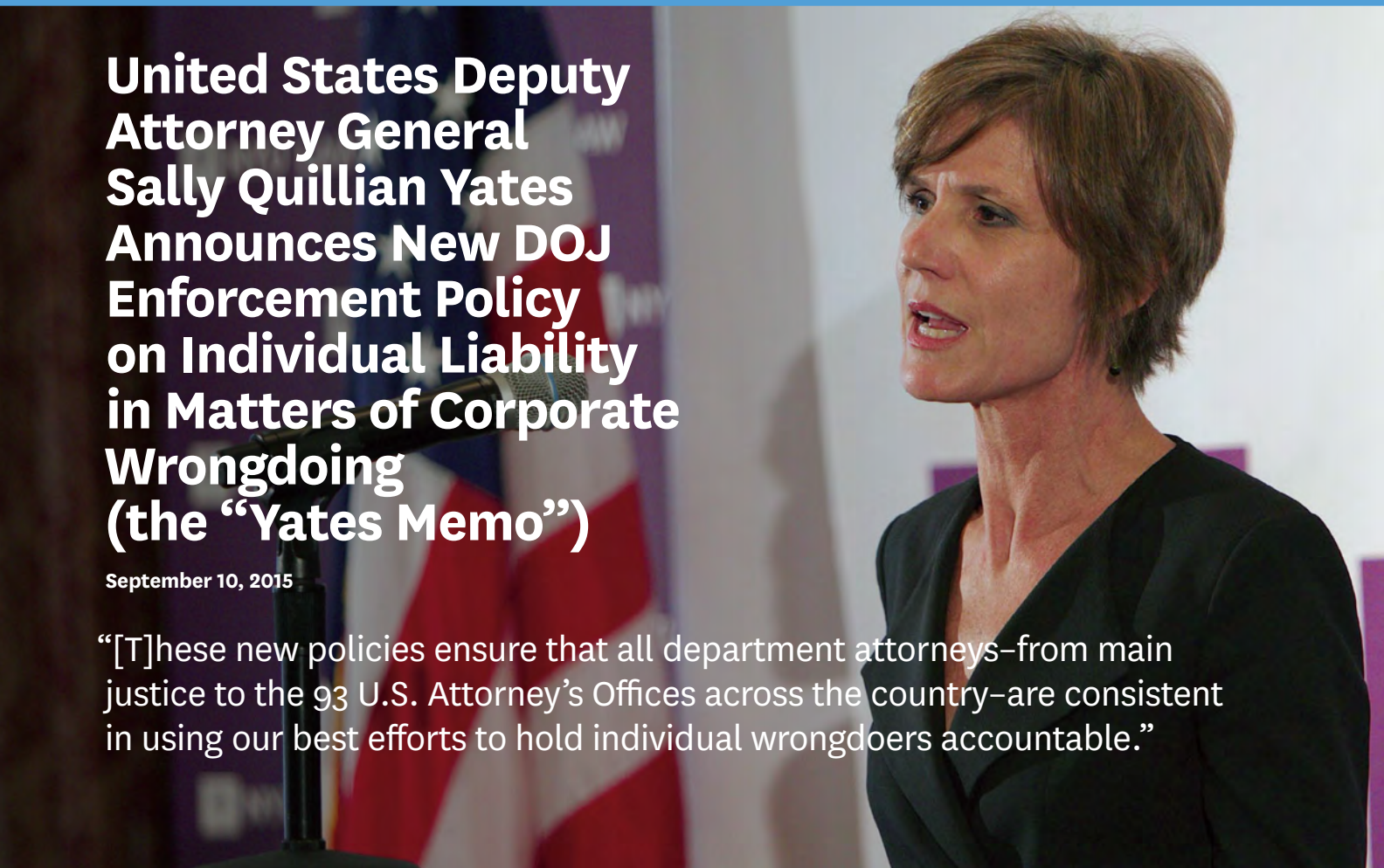
James McDonald, Director of Enforcement for the U.S. Commodity Futures Trading Commission (CFTC)



## United States Attorney General Eric Holder Speaks on Corporate Crime

September 17, 2014

U.S. Attorney General Eric Holder outlined three proposals to strengthen the Department of Justice’s ability to investigate and prosecute illegal financial activities: imposing greater accountability on corporate executives; enhancing incentives for whistleblowers; and providing law enforcement with additional resources to investigate financial crimes.



## United States Deputy Attorney General Sally Quillian Yates Announces New DOJ Enforcement Policy on Individual Liability in Matters of Corporate Wrongdoing (the “Yates Memo”)

September 10, 2015

“[T]hese new policies ensure that all department attorneys—from main justice to the 93 U.S. Attorney’s Offices across the country—are consistent in using our best efforts to hold individual wrongdoers accountable.”

PCCE extends its global reach by: (1) participation of international experts in our conferences, (2) hosting academic conferences overseas, (3) educational events for foreign compliance officers and enforcement officials; and (4) providing graduate courses and speaking at international conferences.



## Brazil

Prosecution Office of Federal District  
and Territories, Brasília-DF  
*Public Prosecutor*

**Sergio Bruno Cabral Fernandes**

## China

Hong Kong Special Administrative Region  
*Deputy Director of Public Prosecutions,  
Department of Justice*

**Alain Sham**

Shanghai People's Procuratorate,  
Financial Crimes Department

**Kai Xiao**

## France

National Financial Prosecutor's Office  
*First Deputy Prosecutor*

**Eric Russo**

## Germany

German Federal Ministry of Justice  
and Consumer Protection  
*Division Head*

**Markus Busch**

## Japan

Supreme Public Prosecutors Office  
Public Prosecutor  
Ministry of Justice  
*Director, International Affairs Division,  
Criminal Affairs Bureau*

**Yoshimitsu Yamauchi**

## The Netherlands

*National Coordinating Prosecutor on Corruption,  
National Prosecutor's Office for Serious Fraud,  
Environmental Crime, and Asset Confiscation*

**Daniëlle Goudriaan**

## Norway

Økokrim

*Senior Public Prosecutor, Anti-Corruption Team*

**Marianne Djupesland**

## Organisation for Economic Co-operation and Development

*Working Group on Bribery in International  
Business Transactions  
Chair*

**Drago Kos**

**Mark Pieth** (as Former Chair)

*Director for Legal Affairs*

**Nicola Bonucci**

*Head of Anti-Corruption Division*

**Patrick Moulette**

## United Kingdom

Serious Fraud Office

*Director*

**David Green**

**Lisa Osofsky**

*General Counsel*

**Alun Milford**

Financial Conduct Authority

*Director of Enforcement and Market Oversight*

**Therese Chambers**

**Mark Steward**

National Cyber Security Centre

*Head of Legal*

**Charlotte Goldberg**

PCCE provides educational, research, and career-building opportunities to students through the Student Fellows program, opportunities to edit or write for our *Compliance & Enforcement* blog, events targeted at students, and access to our invitation-only events. PCCE's student fellows for the 2025–2026 academic year are:

**Brandon Galperin '27**  
**Catie Garcia '26**  
**Christina Guerrero-Gomez '26**  
**Judy Jiang '26**  
**Soobean Jo '27**  
**Aarushi Prasad '28**

**Colly Preston '26**  
**Melissa Reyna LLM '26**  
**Anna Sixsmith '27**  
**Bhargav Tata '27**  
**Gabrielle Timoteo LLM '26**

### COMPLIANCE & ENFORCEMENT BLOG

Launched in 2016, PCCE's blog, Compliance & Enforcement, presents commentary and analysis on corporate compliance and enforcement written by academics, practitioners, compliance officers, and PCCE student fellows.

The blog is edited by PCCE's Executive Director, Joseph Facciponti, Jennifer Arlen '86, and PCCE's student Associate Blog Editors. The blog is available at: [https://wp.nyu.edu/compliance\\_enforcement](https://wp.nyu.edu/compliance_enforcement). New posts are added regularly. To become a subscriber or suggest a topic, register using the link on the blog or contact Joseph Facciponti at [joseph.facciponti@nyu.edu](mailto:joseph.facciponti@nyu.edu).





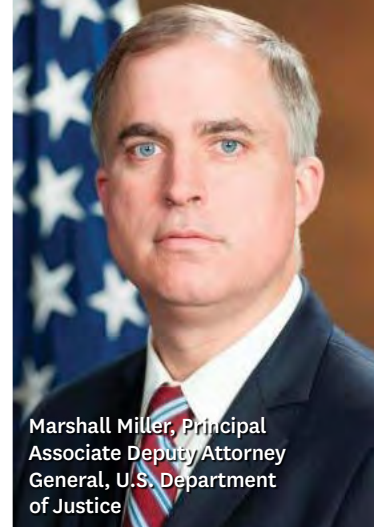
Makan Delrahim, Assistant Attorney General, Antitrust Division, U.S. Department of Justice



Todd Kim, Assistant Attorney General for the Environment and Natural Resources Division, U.S. Department of Justice



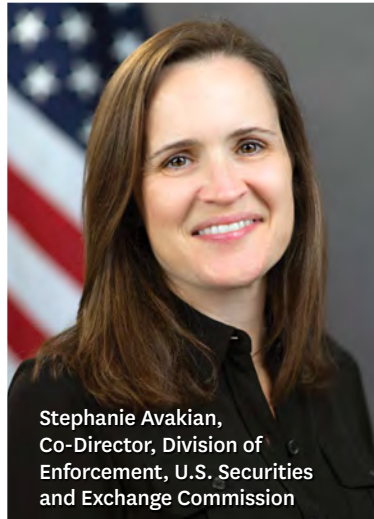
Joseph "Jody" Hunt, Assistant Attorney General, Civil Division, U.S. Department of Justice



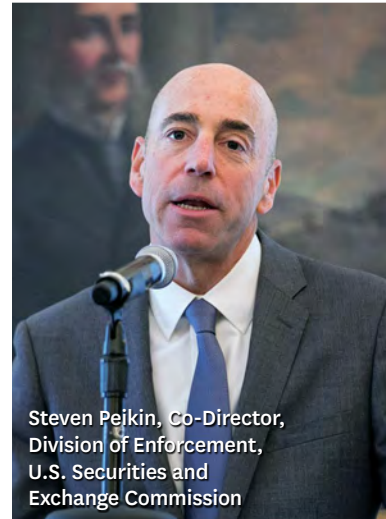
Marshall Miller, Principal Associate Deputy Attorney General, U.S. Department of Justice



Andrew Ceresney, Director of Enforcement, U.S. Securities and Exchange Commission



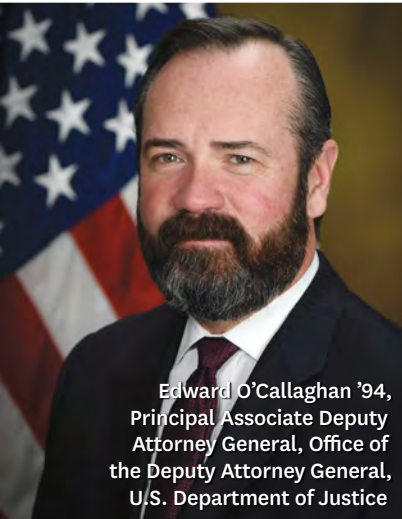
Stephanie Avakian, Co-Director, Division of Enforcement, U.S. Securities and Exchange Commission



Steven Peikin, Co-Director, Division of Enforcement, U.S. Securities and Exchange Commission



Gurbir Grenwal, Director of Enforcement, U.S. Securities & Exchange Commission



Edward O'Callaghan '94, Principal Associate Deputy Attorney General, Office of the Deputy Attorney General, U.S. Department of Justice



Preet Bharara, U.S. Attorney, Southern District of New York



Adrienne Harris, Superintendent, NY Department of Financial Services



Lisa Osofsky, Director, U.K. Serious Fraud Office



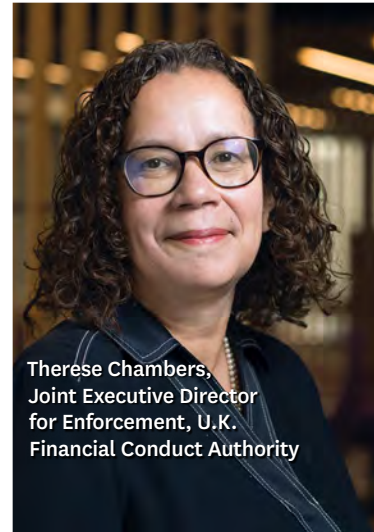
James McDonald, Director of Enforcement, U.S. Commodity Futures Trading Commission



Ian McGinley, Director of Enforcement, U.S. Commodity Futures Trading Commission



Maria T. Vullo '87, Superintendent, NY Department of Financial Services



Therese Chambers, Joint Executive Director for Enforcement, U.K. Financial Conduct Authority



## Program on Corporate Compliance and Enforcement

New York University School of Law

New York University School of Law

139 MacDougal Street

New York, NY 10012

(212) 992-8821

[www.law.nyu.edu/pcce](http://www.law.nyu.edu/pcce)

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[jennifer.arlen@nyu.edu](mailto:jennifer.arlen@nyu.edu)

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[joseph.facciponti@nyu.edu](mailto:joseph.facciponti@nyu.edu)

**Carolyn Pautz, PhD**

[carolyn.pautz@nyu.edu](mailto:carolyn.pautz@nyu.edu)

**Jerome Miller**

[jerome.miller@nyu.edu](mailto:jerome.miller@nyu.edu)

## Acknowledgments

Our work has been made possible by the incredible support we have received from the bench, the bar, corporate supporters, and our own NYU School of Law family: faculty, administration, alumni, law students, and the community at large. Whether it was a donation of expertise and time at our events, mentoring for our students, scholarship and ideas for our blog, or crucial financial support, we are grateful for your contribution. The foundation of PCCE rests on the many who believe in what we are working to accomplish and have joined us in the endeavor. With our heartfelt thanks to you all, we look forward to the future.



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